

PATENT

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

Shobu et al.

Examiner:

Unassigned

Serial No.:

10/721,555

Group Art Unit:

1755

Confirmation No.:

5837

Docket:

105-78

Filed:

November 25, 2003

Dated:

September 16, 2004

For:

Aqueous Shellac Coating Agent and Production Process Therefor, and Coated Food and Production Process Therefor, Coated Drug and Production Process Therefor, Glazing composition for Oil-Based Confectionary, Glazing Process, and Glazed Oil-Based Confectionary Using Same

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

I hereby certify this correspondence is being deposited with the United States Postal Service as first class mail, postpaid in an envelope, addressed to: Commissioner for Patents,

P.O. Box 1450, Alexandria, VA 22313-1450 on

Date: September 16, 2004

Signed:

REQUEST TO CORRECT INVENTORSHIP UNDER 37 C.F.R §1.48(a)

Sir:

Please add the following previously unnamed persons as co-inventors of the abovereferenced patent application.

Name:

Keizou Mochizuki

Residence:

12-20, Hinode-cho, Sakado-shi, Saitama-ken, Japan

Post Office Address: Citizenship:

Same Japan

Name:

Residence:

Hidejiro Hara c/o Freund Corporation, 8-1, Nishishinjuku, 6-chome,

Shinjuku-ku, Tokyo, Japan

Post Office Address:

Same

Citizenship:

Japan

Name:

Kazumi Yamada

Residence:

c/o Freund Chemical Co., Ltd., 2-10, Numakage 2-chome,

Saitama-shi, Saitama-ken, Japan

Post Office Address: Same

Citizenship:

Japan

Applicants: Shobu et al.

Application Serial No.: 10/721,555 Filing Date: November 25, 2003

Docket No.: 105-78

Page 2

Enclosed herewith pursuant to 37 C.F.R. § 1.48(a) are the following:

- (a) Statements from the persons being added as inventors;
- (b) A newly executed Declaration signed by each of the actual inventors as required by 37 C.F.R. § 1.63;
- (c) Written consent of the assignee with certification under 37 C.F.R. § 3.73(b);
- (d) A copy of the new Assignment signed by the added inventors;
- (e) A copy of change of name of Assignee; and
- (f) Fee payment under 37 C.F.R. § 1.17(i) (A check for \$130.00).

Respectfully submitted,

Ames F. Harrington Registration No.: 44,741 Attorney for Applicants

HOFFMANN & BARON, LLP 6900 Jericho Turnpike Syosset, New York 11791 (516) 822-3550 JFH/jp



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

Shobu et al.

Examiner:

Unassigned

Serial No.:

10/721,555

Group Art Unit:

1755

Confirmation No.:

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Docket:

105-78

Filed:

November 25, 2003

Dated:

May 24, 2004

For:

Aqueous Shellac Coating Agent and Production Process Therefor, and Coated Food and Production Process Therefor, Coated Drug and Production Process Therefor, Glazing composition for Oil-Based Confectionary, Glazing Process, and Glazed Oil-Based Confectionary Using Same

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 I hereby certify this correspondence is being deposited with the United States Postal Service as first class mail, postpaid in an envelope, addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-

1450 on

Signed:

Date:

STATEMENT FROM PERSON BEING ADDED AS INVENTOR

Sir:

- I, Keizou Mochizuki, declare and say:
- 1. I am an inventor in the above-identified patent application;
- 2. Through error, I was not named as an inventor in the above-identified application;
- 3. The error in inventorship occurred without deceptive intent on my part.

I HEREBY DECLARE that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true. Further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the

Applicants: Shobu et al.

Application Serial No.: 10/721,555 Filing Date: November 25, 2003

Docket No.: 105-78

Page 2 of 2

United States Code, and such willful false statements may jeopardize the validity of the application and any patent issued thereon.

September 7, 2004

Date

Keizou Mochizuki



PATENT

<u>THE UNITED STATES PATENT AND TRADEMARK OFFICE</u>

Applicants:

Shobu et al.

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1450 on Date:

Signed

STATEMENT FROM PERSON BEING ADDED AS INVENTOR

Sir:

I, Hidejiro Hara, declare and say:

- 1. I am an inventor in the above-identified patent application;
- 2. Through error, I was not named as an inventor in the above-identified application;
- 3. The error in inventorship occurred without deceptive intent on my part.

I HEREBY DECLARE that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true. Further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the

JAMES A

Applicants: Shobu et al.

Application Serial No.: 10/721,555
Filing Date: November 25, 2003
Docket No.: 105-78

Page 2 of 2

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September 7, 2004

Date

Hidegino Hara Hidejiro Hara



<u>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</u>

Applicants:

Shobu et al.

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Unassigned

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1450 on Date:

Signed:

STATEMENT FROM PERSON BEING ADDED AS INVENTOR

Sir:

- I, Kazumi Yamada, declare and say:
- 1. I am an inventor in the above-identified patent application;
- 2. Through error, I was not named as an inventor in the above-identified application;
- 3. The error in inventorship occurred without deceptive intent on my part.

I HEREBY DECLARE that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true. Further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the

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Docket No.: 105-78 Page 2 of 2

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September 7, 2004

Date

KaZUMi Yamada Kazumi Yamada



Attorney's Docket No. 105-78

PATENT

COMBINED DECLARATION AND POWER OF ATTORNEY

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT, SUPPLEMENTAL, DIVISIONAL, CONTINUATION OR CIP)

As a below named inventor, I hereby declare that:

TYPE OF DECLARATION

This declaration is of the following	ng type: (check one)	
☐ Original		☐ National Stage PCT
Supplemental	j.	☐ Divisional
☐ Design	!	☐ Continuation
		☐ Continuation-in-Part (CIP)

INVENTORSHIP IDENTIFICATION

NOTE:

If the inventors are each not the inventors of all the claims an explanation of the facts, including the ownership of all the claims at the time the last claimed invention was made, should be submitted.

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Aqueous Shellac Coating Agent and Production Process Therefor, and Coated Food and Production Process
Therefor, Coated Drug and Production Process Therefor, Glazing Composition for Oil-Based Confectionary, Glazing
Process, and Glazed Oil-Based Confectionary Using Same

the specification of which: (complete (a), (b) or (c))

(a)
ightharpoonup is attached hereto.

(b)	was filed on November 25, 2003 as
	Serial No. 10/721,555 or
	Express Mail No, as Serial No. not yet known
	and was amended on (If applicable)
(c)	was described and claimed in PCT International Application No. PCT/
	filed on and as amended under PCT Article 19 on

ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above, and that the filing of said specification, if heretofore filed, was authorized by me.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).



CLAIM OF PRIORITY OF EARLIER FOREIGN APPLICATION(S) UNDER 35 U.S.C. §119(a)-(d)

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

(List prior foreign/PCT application(s) filed within 12 months (6 months for design) prior to this U.S. application.)

NOTE: Where item (c) is entered above and the International Application which designated the U.S. claimed priority check item (e), enter the details below and make the priority claim.

COUNTRY (orPCT)	APPLICATION NO.	DATE OF FILING (Day/Month/Year)	PRIORITY UNDER 35	
Japan	2002-347465	29/11/2002	⊠ YES	□ NO
Japan	2003-176333	20/06/2003		□ NO
Japan	2003-293002	13/08/2003	⊠ YES	□ №
Japan	2003-318500	10/09/2003		□ NO

CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S) UNDER 35 U.S.C. §119(e)

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

(List prior U.S. provisional applications.)

PROVISIONAL APPLICATION NO.	:	FILING DATE (Day/Month/Year)
60/436,794		27/12/2002

CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S) UNDER 35 U.S.C. 120

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

(List prior U.S. applications or PCT international applications designating the U.S. for benefit under 35 U.S.C. §120.)

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U.S. APPLICATIONS			STATUS (Check One)			
U.S. SERIAL NO.	U.S. FILING DATE (Day/Month/Year)		Patented	Pending	Abandoned	
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PCT APP	LICATIONS DESIGNAT	ING THE U.S.	ST	ATUS (Check C	One)	
PCT APPLN. NO.	PCT FILING DATE (Day/Month/Year)	U.S. SERIAL NOS ASSIGNED (If any)	Patented	Pending	Abandoned	
PCT/						
PCT/						
35 US	SC 119 PRIORITY CLAI	M, IF ANY, FOR ABOVE LI	STED U.S./PC1	APPLICATIO	ONS	
PRIORITY APPLICATION NO	PRIORITY . COUNTRY	FILING DATE (Day/Month/Year)		SSUE DATE Day/Month/Year)		

POWER OF ATTORNEY

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office in connection therewith:

Charles R. Hoffmann, Reg. No. 24,102; Ronald J. Baron, Reg. No. 29,281; Alan M. Sack, Reg. No. 31,874; A. Thomas Kammer, Reg. No. 28,226; R. Glenn Schroeder, Reg. No. 34,720; Glenn T. Henneberger, Reg. No. 36,074; Irving N. Feit, Reg. No. 28,601; Anthony E. Bennett, Reg. No. 40,910; Gregory W. Bachmann, Reg. No. 41,593; Steven T. Zuschlag, Reg. No. 43,309; Susan A. Sipos, Reg. No. 43,128; Kevin E. McDermott, Reg. No. 35,946; Rod S. Turner, Reg. No. 38,639; Robert C. Morriss, Reg. No. 42,910; Justin K. Holmes, Reg. No. 42,666; Lauren T. Emr, Reg. No. 46,139; Edna I. Gergel, Reg. No. 50,819; James F. Harrington, Reg. No. 44,741; Velly B. Polycarpe, Reg. No. 48,856, Edmund Gutierrez, Reg. No. 52,979 and Betsy Kingsbury Dowd, Reg. No. 52,830, each of them of HOFFMANN & BARON, LLP, 6900 Jericho Turnpike, Syosset, New York 11791; and Daniel A. Scola, Jr., Reg. No. 29,855; Salvatore J. Abbruzzese, Reg. No. 30,152; John S. Sopko, Reg. No. 41,321; Gloria K. Szakiel, Reg. No. 45,149; Ludomir A. Budzyn, Reg. No. 40,540; Christina L. Warrick, Reg. No. 45,690; Rohini K. Garg, Reg. No. 45,272; Joy I. Farber, Reg. No. 44,103; Anna-Lisa Gallo, Reg. No. 50,279; Stephen Cannavale, Reg. No. 53,773 and John X. Haberman, Reg. No. 55,236, each of them of HOFFMANN & BARON, LLP, 1055 Parsippany Boulevard, Parsippany, New Jersey 07054.



PLEASE SEND CORRESPONDENCE TO:

Charles R. Hoffmann, Esq. HOFFMANN & BARON, LLP 6900 Jericho Turnpike Syosset, NY 11791 PLEASE DIRECT TELEPHONE CALLS TO:

James F. Harrington, Esq.

(516) 822-3550

DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

SIGNATURE(S)

Full Name of Sole or First Inventor:	Tomoyuki Shobu		
Country of Citizenship:	Japan		
Residence Address:	Hamamatsu-shi, Japan		
Post Office Address:	c/o Freund Corporation, Hamamatsu Office, 2-2, Shinmiyakoda 1-chome, Hamamatsu-shi, Shizuoka-ken, Japan		
Date: September 7, 2004	Inventor's signature Tomoyuki Shobu		
Full Name of Second Joint Inventor:	Kazuo Igusa		
Country of Citizenship:	Japan		
Residence Address:	Tokyo, Japan		
Post Office Address:	c/o Freund Corporation, Hamamatsu Office, 2-2, Shinmiyakoda 1- chome, Hamamatsu-shi, Shizuoka-ken, Japan		
Date: September 7, 2004	Inventor's signature Ragus Jgusu		
Full Name of Third Joint Inventor:	Toshichika Ogasawara		
Country of Citizenship:	Japan		
Residence Address:	Tokyo, Japan		
Post Office Address:	c/o Freund Corporation, Hamamatsu Office, 2-2, Shinmiyakoda 1- chome, Hamamatsu-shi, Shizuoka-ken, Japan		
Date: September 7, 2004	Inventor's signature Toshiohik Ogazawana		

Full Name of Fourth Joint Inventor:	Keizou Mochizuki
Country of Citizenship:	Japan
Residence Address:	Sakado-shi, Japan
Post Office Address:	12-20, Hinode-cho, Sakado-shi, Saitama-ken, Japan
Date: September 7, 2004	Inventor's signature Keijon Mochisuk'
	· · · · · · · · · · · · · · · · · · ·
Full Name of Fifth Joint Inventor:	Hidejiro Hara
Country of Citizenship:	Japan
Residence Address:	Tokyo, Japan
Post Office Address:	c/o Freund Corporation, 8-1, Nishishinjuku 6-chome, Shinjuku-ku, Tokyo, Japan
Date: September 7, 2004	Inventor's signature Hidejro Idana
Full Name of Sixth Joint Inventor:	Kazumi Yamada
Country of Citizenship:	Japan
Residence Address:	Saitama-shi, Japan
Post Office Address:	c/o Freund Chemical Co., Ltd., 2-10, Numakage 2-chome, Saitama-shi, Saitama-ken, Japan
Date: Srptember 7, 2004	Inventor's signature <u>KaZUMI YaMaDa</u>

NOTE: All above spaces identifying inventors must be completed or deleted before any inventor executes this application

PATENT



UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

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1450 on Date:

CONSENT OF ASSIGNEE TO CORRECTION OF ORIGINAL NAMED **INVENTORS AND CERTIFICATION UNDER 37 C.F.R. § 3.73(b)**

Assignee:

Freund Industrial Co., Ltd. 14-2, Takadanobaba 2-chome Shinjuku-ku, Tokyo, Japan

Assignment:

Executed on November 18, 2003

A copy is attached.

Assignee hereby consents to the correction of inventorship filed herewith.

ASSIGNEE CERTIFICATION

I, the undersigned, have reviewed all documents related to the title of this patent application, and to the best of my knowledge and belief, title remains in the assignee identified above.

Applicants: Shobu et al.

Application Serial No.: 10/721,555 Filing Date: November 25, 2003

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Page 2 of 2

ASSIGNEE CERTIFICATION

I, the undersigned, have reviewed all documents related to the title of this patent application, and to the best of my knowledge and belief, title remains in the assignee identified above.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

September 7, 2004

Date

Directors

By: Yasutoyo Fusejima

Title: Chairman of the Board of

Freund Corporation

SEP 2 0 20th SEP COL

PTO-1595 (Modified)

73-01) 40. 0651-0027 (exp.5/31/2002) REV03 E et No.: 105-78

CORDATION FORM COVER SHEET

PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office

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To the Director o	f the United	States Pate	ent and Trademark Of	fice: Please reco	rd the attached origi	inal documents or c	copy thereof.
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. Kazuo Igusa				Name: <u>F</u>	reund Industrial C	Co., Ltd.	
. Toshichika Ogas	sawara			Address:	14-2, Takadanob	aba 2-chome, Shin	ijuku-ku
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Other	·			Country:	Japan	ZIP:	
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this document is	being filed	together w	vith a new application	n, the executior	n date of the applic	ation is: Nove	ember 18, 200
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ame and address			respondence		nber of applications	s and patents invo	olved: 1
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ame: Charles R.	Hoffmann	, Esq.		7. Total fee	(37 CFR 3.41):	\$ 40.00	
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Name of Pe		ing		Signature	r r	Date	
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USA Patent Appln. Sole or Joint

ASSIGNMENT

Tomoyuki Shobu

In consideration of the sum of Ten Dollars (\$10.00) and other good and valuable consideration paid to each of the undersigned, to wit:

Insert Name(s)	(2) Kazuo Igusa		(6)
of Inventor(s)	(3) Toshichika C)gasawara	(7)
	(4)		[] x box if continued on back
Insert Name	at the request of, her	iency of which are hereby a eby sell(s), assign(s) and tra RIAL CO., LTD.	acknowledged by the undersigned who ansfer(s) unto:
of Assignee and Address	14-2, Takadan	obaba 2-chome, Shinju	ku-ku, Tokyo, Japan
Title of Invention NOTE ->->-> (use only when appln. signed on same date) Please sign	States of America as AQUEOUS SHELLAC COA' FOOD AND PRODUCTION THEREFOR, GLAZING CO for which an application executed even date home continuations, substitution and the continuations and the continuation and the continua	defined in 35 U.S.C. 100 in TING AGENT AND PRODUCT PROCESS THEREFOR, COMPOSITION FOR OIL-BAS on for Letters Patent of the erewith by the undersigned, ites, and reissues thereof; a uthorize(s) and request(s) takes to issue said Letters Patent, its successors, assigns and that the attorneys of record IGNEE; ersigned hereby agree(s) to issors, assigns and legal repositions.	ght, title and interest for the United and to the invention known as TION PROCESS THEREFOR, AND COATED ATED DRUG AND PRODUCTION PROCESS SED CONFECTIONARY, GLAZING PROCESS, United States of America has been AND, and in and to any and all divisions GLAZED of Least and the OIL-BASE of the United States Commissioner OUSING SAME ent to the said ASSIGNEE, for its ad legal representatives; the in said application shall hereafter act testify and execute any papers for resentatives, deemed essential by e in and to the Invention hereby
concurrently with Declaration	Signed on the date(s)	indicated beside our signat	ures.
	uki Shobu moyuki Shobu - U sula	DATE SIGNED November 18, 2003 November 18, 2003	WITNESS(ES) Takeshi Hom-ma Joshihiko Sambe Joshihiko Sambe
3) <u>Joshica</u> Name: To	hika Ugasawara Oshichika Ogasawara	November 18, 2003	Joshihileo Sambe
4) Name:	·		
5) Name:		·	
6)			
Name: 7)			
Name			



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Director U.S. Patent and Trademark Office Mail Stop Assignment Recordation Services P.O. Box 1450

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on September 16, 2004

Signature:

w feluson

REQUEST FOR RECORDATION OF ASSIGNMENT DOCUMENT

Sir:

Enclosed herewith is an executed Assignment and a Recordation Form Cover Sheet regarding the above-identified patent application. A check for the required recordation fee of \$40.00 is also enclosed. Please record the enclosed document accordingly and return it to the address set forth below once recordation has been completed.

Respectfully submitted,

Yames F. Harrington Registration No.: 44,741

Attorney for Applicants

HOFFMANN & BARON, LLP 6900 Jericho Turnpike Syosset, New York 11791 (516) 822-3550 JFH/jp

194683_i

FORM PTO-1595 (Modified) (Rev. 03-01) OMB No. 0651-0027 (exp.5/31/2002) P08/REV03



RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

PATENTS ONLY

Patent and Trademark Office

Docket No.: 105-78

Tab settings + + + V AT & TAN	
To the Director of the United States Patent and Trademark Office	e: Please record the attached original documents or copy thereof.
1. Name of conveying party(ies): Keizou Mochizuki Hidejiro Hara	Name and address of receiving party(ies):
Kazumi Yamada	Name: Freund Corporation
	Internal Address: 8-1, Nishishinjuku
Additional names(s) of conveying party(ies)	6-chome, Shinjuku-ku
3. Nature of conveyance:	Tokyo, Japan
	Street Address:
☐ Security Agreement ☐ Change of Name	
Other	City: State: ZIP:
Execution Date: September 7, 2004	Additional name(s) & address(es) attached? Yes No
4. Application number(s) or patent numbers(s): If this document is being filed together with a new application	the execution date of the application is:
A. Patent Application No.(s)	B. Patent No.(s)
10/721,555	
Additional numbers attac	hed? ☐ Yes ☒ No
5. Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved:
Name: Charles R. Hoffmann, Esq.	7. Total fee (37 CFR 3.41):\$ 40.00
Internal Address: HOFFMANN & BARON, LLP	☑ Enclosed - Any excess or insufficiency should be credited or debited to deposit account
	☐ Authorized to be charged to deposit account
Street Address: 6900 Jericho Turnpike	8. Deposit account number:
	08-2461
City: Syosset State: NY ZIP: 11791	(Attach duplicate copy of this page if paying by deposit account)
DO NOT l 9. Statement and signature.	USE THIS SPACE
To the best of my knowledge and belief, the foregoing information of the original document.	ation is true and correct and any attached copy is a true copy
James F. Harrington	7- Janungton 9-16-04
Name of Person Signing	Signature

Total number of pages including cover sheet, attachments, and document:

Attorney's Docket No.: 105-78

PATENT

For:

U.S. and/or
Foreign Rights

For:

U.S. Application;

U.S. Provisional Application;

U.S. Patent; or

PCT Application

By:

Inventors or
Present Owners

ASSIGNMENT OF INVENTION

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS: (inventor(s) or person(s) or entity(ies) who own the invention)

Keizou Mochizuki	Hidejiro Hara	Kazumi Yamada
Name	Name	Name
12-20, Hinode-cho, Sakado-shi	c/o Ereund Corporation 8-1 Nishishinjuku, 6-chome, Shinjuku-ku	c/o Freund Chemical Co., Ltd., 2-10, Numakage, 2-chome, Saitama-shi
Address	Address	Address
Saitama-ken, Japan	Tokyo, Japan	Saitama-ken, Japan
Japan	Japan	Japan
Nationality	Nationality	Nationality
Recorded on hereby sells, assigns and tr ASSIGNEE:	Reel Frame ransfers to	
ABBIGINEE.		
	Freund Corporation (Type or print name of ASSIGNEE)	
	Address Tokyo, Japan Japan Nationality	home, Shinjuku-ku Assignment of Invention – Page 1 of 3

(complete one of the following)					
the entire right, title and interest an undivided percent (%) interest					
for the United States and its territorial possessions					
and in all foreign countries, including all rights to claim priority,					
in and to any and all improvements which are disclosed in the invention entitled: AQUEOUS SHELLAC COATING AGENT AND PRODUCTION PROCESS THEREFOR, AND COATED FOOD AND PRODUCTION PROCESS THEREFOR, COATED DRUG AND PRODUCTION PROCESS THEREFOR, GLAZING COMPOSITION FOR OIL-BASED CONFECTIONARY, GLAZING PROCESS, AND GLAZED OIL-BASED CONFECTIONARY USING SAME					
and which is found in					
(check and complete (a), (b), (c), (d), (e), (f), or (g))					
(a) ☐ U.S. patent application executed on even date herewith (b) ☐ U.S. patent application executed on					
and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to Letters Patent any re-issue or re-examination thereof.					
ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment. ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the					

same in any interference, litigation or proceeding related thereto and will promptly execute and

and the successors, assigns and legal representatives of the ASSIGNEE,

deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, I/We have hereunto set hand and seal this

above.	WARNING: Date of signing must be the same	ne as the date of execution of the application if item (a) was checked
Date:	X September 7, 2004 Date of signing	X Kesson Mochizuki Keizou Mochizuki
Date:	X September 7, 2004	X Hidegiro. Hana Hidejiro Hara
	Date of signing	Hidejiro Hara
Date:	X September 7, 2004	X KaZUMi Yamada Kazumi Yamada
	Date of signing	Kazumi Yamada
•		
NOTE:	No witnessing, notarization or legalization is ne prima facie evidence of execution 35 USC 26	ecessary. If the assignment is notarized or legalized then it will only be I. Use next page if notarization is desired.
		Notarization or Legalization Page Added.
	<u>.</u>	



THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

Shobu et al.

Examiner:

Unassigned

Serial No .:

10/721,555

Group Art Unit:

1755

Confirmation No.:

5837

Docket:

105-78

Filed:

November 25, 2003

Dated:

September 16, 2004

For:

Aqueous Shellac Coating Agent and Production Process Therefor, and Coated Food and Production Process Therefor, Coated Drug and Production Process Therefor, Glazing composition for Oil-Based Confectionary, Glazing Process, and Glazed Oil-Based Confectionary Using Same

Director U.S. Patent and Trademark Office Mail Stop Assignment Recordation Services P.O. Box 1450

Alexandria, VA 22313-1450

I hereby certify this correspondence is being deposited with the United States Postal Service as first class mail, postpaid in an envelope, addressed to: Director U.S. Patent and Trademark Office,, P.O. Box 1450, Alexandria, VA 22313-

on September 16, 2004

REQUEST FOR RECORDATION OF CHANGE OF CORPORATE NAME

Sir:

The assignee of the above-identified application has changed its corporate name in English from Freund Industrial Co., Ltd. to Freund Corporation. Enclosed herewith for recordation is a copy of a Notice of Corporate Name Change, the Commercial Register from the Tokyo Legal Affairs Bureau documenting the change of corporate name, and a translation of excerpts from the Commercial Register and Notice. Also enclosed is a Recordation Form Cover Sheet. A check for the required recordation fee of \$40.00 is also enclosed. Please record the enclosed documents accordingly.

Respectfully submitted,

Registration No.: 44,741 Attorney for Applicants

HOFFMANN & BARON, LLP 6900 Jericho Turnpike Syosset, New York 11791 (516) 822-3550 JFH/jp 194684_1

FORM PTO-1595 (Modified) (Rev. 03-01) OMB No. 0651-0027 (exp.5/31/2002) P08/REV03

ERECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

PATENTS ONLY

Patent and Trademark Office

Docket No.: 105-78

Tab settings → → → ▼	V V V
To the Director of the United States Patent and Trademar	rk Office: Please record the attached original documents or copy thereof.
1. Name of conveying party(ies): Freund Industrial Co., Ltd.	Name and address of receiving party(ies):
	Name: Freund Corporation
	Internal Address: 8-1, Nishishinjuku
Additional names(s) of conveying party(ies)	6-chome, Shinjuku-ku
	Tokyo, Japan
3. Nature of conveyance:	
☐ Assignment ☐ Merger	Street Address:
☐ Security Agreement ☐ Change of Name	
Other	City: State: ZIP:
Execution Date: May 26, 2004	—— Additional name(s) & address(es) attached? ☐ Yes ☒ No
4. Application number(s) or patent numbers(s):	
If this document is being filed together with a new application.	cation, the execution date of the application is:
A. Patent Application No.(s)	B. Patent No.(s)
10/721,555	
Additional number	rs attached? Yes No
5. Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved:
Name: Charles R. Hoffmann, Esq.	7. Total fee (37 CFR 3.41):\$ 40.00
Internal Address: HOFFMANN & BARON, LLP	Enclosed - Any excess or insufficiency should be credited or debited to deposit account
•	☐ Authorized to be charged to deposit account
Street Address: 6900 Jericho Turnpike	8. Deposit account number:
	08-2461
City: Syosset State: NY ZIP: 117	(Attach duplicate copy of this page if paying by deposit account)
	O NOT USE THIS SPACE
 Statement and signature. To the best of my knowledge and belief, the foregoing is of the original document. 	information is true and correct and any attached copy is a true copy
James F. Harrington	non Jo Hannista 9-16-04
Name of Person Signing	Signature Date

Total number of pages including cover sheet, attachments, and document:

FORM PTO-1595 (Modified)
Rev. 03-01)
DMB No. 0651-0027 (exp.5/31/2002)
P08/REV03

RECORDATION FORM COVER SHEET

Docket No.: 105-78

PATENTS ONLY

.5.	DEPARTMENT	OF COMMERCE
	Patent and	Trademark Office

Tab settings 🔷

PAUL						
To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.						
1. Name of conveying party(ies): Freund Industrial Co., Ltd.	Name and address of receiving party(ies):					
·	Name: Freund Corporation					
	Internal Address: 8-1, Nishishinjuku					
Additional names(s) of conveying party(ies)	6-chome, Shinjuku-ku					
3. Nature of conveyance:	Tokyo, Japan					
☐ Assignment ☐ Merger	Street Address:					
☐ Security Agreement ☐ Change of Name						
Other	City: State: ZIP:					
Execution Date: May 26, 2004	Additional name(s) & address(es) attached? Yes No					
4. Application number(s) or patent numbers(s):	•					
If this document is being filed together with a new application,	the execution date of the application is:					
	· · · · · · · · · · · · · · · · · · ·					
A. Patent Application No.(s)	B. Patent No.(s)					
10/721,555						
Additional numbers attac	hed? 🗌 Yes 🗵 No					
Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved: 1					
Name: Charles R. Hoffmann, Esq.	7. Total fee (37 CFR 3.41):\$ 40.00					
Internal Address: HOFFMANN & BARON, LLP	Enclosed - Any excess or insufficiency should be credited or debited to deposit account					
	☐ Authorized to be charged to deposit account					
Street Address: 6900 Jericho Turnpike	8. Deposit account number:					
	08-2461					
City: Syosset State: NY ZIP: 11791	(Attach duplicate copy of this page if paying by deposit account)					
	JSE THIS SPACE					
 Statement and signature. To the best of my knowledge and belief, the foregoing information of the original document. 	ation is true and correct and any attached copy is a true copy					
James F. Harrington	Jo Hannetto 9-15-04					
Name of Person Signing	Signature Date					
Total number of pages including cover sh	9					



May 27, 2004

Notice of Change of name of company in English

At the 40th general meeting of company on May 26, 2004, the name of the company in English was changed as follows.

- New name of company in English
 Freund Corporation
 (Former name is Freund Industrial Co., Ltd.)
- Reason for change of name
 Unification of the name of the company and
 the names of subsidiary companies (Vector Corporation, VPS Corporation)
- 3. Date of Change May 26, 2004



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News & Topics ==- スミトピックス



2004/7/9

2005年2月期第1四半期業績の概況(連結)

IRサイトに掲載しております。

2004/4/23

自己株式の取得に関するお知らせ

2004年4月15日開催の取締役会において、商法第210条の規定に基づく自己株式の取得について、2004年5月催予定の当社第40回定時株主総会に付議することを決議いたしました。 詳細は「IR(投資家のみなさまへ)」をご覧下さい。

2004/5/27

英文表記変更に関するお知らせ

2004年5月26日開催の第40回定時株主総会において、社名の英文表記の変更が下記の通り、承認可決されてお知らせします。

1. 新しい英文表記

Freund Corporation (従前は、Freund Industrial Co., Ltd.)

2. 変更の理由

在外子会社(Vector Corporation、VPS Corporation)と社名の表示方法をあわせ、表示の統一化を図るす。

3. 変更日

平成16年5月26日

2004/5/20

2004国際食品工業展に出展します。

2004年6月8日(火)~11日(金)の4日間、東京ビッグサイトにて開催される2004国際食品工業展に出展しま

機械部門ではロータリー式流動層造粒乾燥装置、遠心転動造粒コーティング装置、シームレス・ミニカプセル置、卓上型乾式造粒機、流動層造粒コーティング装置を展示、一部の機械については実演も行います。機能性部門では水系コーティング基材、直打用澱粉、シームレス・ミニカプセル、直打用乳糖の展示を行います。



(Translation)

PARTIAL TRANSLATION OF EXCERPTS FROM COMMERCIAL REGISTER

(Page 1)

TRADE NAME: Freund Corporation

HEAD OFFICE: 14-2, Takadanobaba 2-chome, Shinjuku-ku, Tokyo

June 1, 1975 Specified Address

8-1, Nishishinjuku 6-chome, Shinjuku-ku, Tokyo, Japan

January 26, 2004 Moved January 26, 2004 Registerd

(Page 6: the last five lines)

It is hereby certified that the above is a true copy of the Commercial Register.

June 22, 2004

Tokyo Legal Affairs Bureau

Registrar: Minoru Nemoto (Sealed)

履歷事項全部証明書

東京都新宿区西新宿六丁目8番1号 フロイント産業株式会社 会社法人等番号 0111-01-018760

г		Y	·				
	商号	フロイント産業株式会社					
	本 店	東京都新宿区高田馬場二丁目14番2号	昭和50年 6月 1日住居表示実施				
	•						
	•	東京都新宿区西新宿六丁目8番1号	平成16年 1月26日移転				
			平成16年 1月26日登記				
	公告をする方法 	日本経済新聞に掲載する					
- 1	貸借対照表に係る 情報の提供を受け るために必要な事	http://www.freund.co.jp	平成15年 4月18日設定				
	項		平成15年 4月28日登記				
	会社成立の年月日	昭和39年4月22日					
C	目的	1. 製薬・食品化学用機械の製造並びに販売 2. 理科学医療機器の製造並びに販売 3. 一般医薬品、医薬部外品、毒物、劇物、動物・一ティング剤等の製造販売並びに受託加工則 4. 食品及び食品添加物の製造販売 5. 各種ゴム製品、プラスチックス製品、合成26. 建築用材料の製造加工販売並びに工事施工 売並びに工事施工 7. 業務用家庭用電気機器、計器の製造並びに則 8. 飼料の製造並びに販売 9. ビタミン、カルシウム、鉄分等の栄養素を初の製造販売並びに受託加工販売 10. 農産物、樹木、草花等の種子の被覆、造粒が11. イチョウ葉エキス、植物種子の焙煎物、乳香販売並びに受託加工販売 12. 電気工事及び管工事の設計、施工、請負並びに13. 機械器具設置工事の設計、施工、請負並びに13. 機械器具設置工事の設計、施工、請負並びに14. 粉塵の除去、微粉回収用装置の製造販売 15. 前各号に関連する一切の業務	販売 金料類の製造並びに販売 及び宣伝装飾用材料の製造販 販売 補給するための栄養補助食品 型工販売 俊菌等の健康補助食品の製造 ドに監理監督 二監理監督				
		(1)製薬・食品製造用・化学用機械の製造並びに販売(2)理科学医療機器の製造並びに販売(3)医薬品、医薬部外品、毒物、劇物、動物用医薬品、農薬賦形剤、結合剤・崩壊剤・コーティング剤等の医薬品添加剤の製造販売並びに受託加工販売					

整理番号 二626203

下線のあるものは抹消事項であることを示す。

	(4) 医薬品製造受託及び仲介 (5)食品、食品品質保持剤及び食品添加物の (6)各種ゴム製品、プラスチックス製品、合 (7)建築用材料の製造加工販売並びに工事施 販売並びに工事施工 (8)業務用家庭用電気機器、計器の製造並び (9)飼料の製造並びに販売 (10)ビタミン、カルシウム、鉄分等の栄養素 品の製造販売並びに受託加工販売 (11)農産物、樹木、草花等の種子の被覆、造 (12)イチョウ葉エキス、植物種子の焙煎物、売並びに受託加工販売 (13)電気工事及び管工事の設計、施工、請負並 (13)電気工事及び管工事の設計、施工、請負並 (14)機械器具設置工事の設計、施工、請負並 (15)粉塵の除去、微粉回収用装置の製造販売 (16)製薬・食品・化学等の開発研究、処方検試の15)前各号に関連する輸出入業務 (18)前各号に関連する一切の業務 平成14年 5月30日変更	成塗料類の製造並びに 工及び宣伝装飾用材料 に販売 を補給するための栄養 粒加工販売 乳酸菌等の健康食品の がに監理監督 びに監理監督 計等の受託	計の製造を補助食の製造販
額面株式1株の金額	金50円		
一単元の株式の数	1000株		
	100株	平成13年 7月	
		平成13年 7月	2日登記
発行する株式の総 数	1500万株		
発行済株式の総数 並びに種類及び数	発行済株式の総数 4 6 0 万株		
資本の額			
名義書換代理人の氏名及び住所並びに営業所	東京都中央区日本橋三丁目1番8号日本信託銀行株式会社東京都中央区日本橋三丁目1番8号日本信託銀行株式会社証券代行部 東京都千代田区永田町二丁目11番1号三菱信託銀行株式会社東京都千代田区永田町二丁目11番1号		
	三菱信託銀行株式会社 証券代行部 平成13年10月 1日変更	平成13年10月	1日登記

		東京都千代田 三菱信託銀行 東京都千代田 三菱信託銀行			
		-21213	平成15年 5月 6日変更	平成15年	5月14日登記
	役員に関する事項	取締役	伏島靖豊	平成11年	5月28日重任
				平成11年	6月10日登記
	٠.	取締役	伏島靖豊	平成13年	5月30日重任
			,	平成13年	 6月15日登記
		取締役	伏 島 靖 豊	平成15年	5月27日重任
			·	平成15年	6月12日登記
		取締役	堀 哲 郎	平成11年	5月28日重任
				平成11年	6月10日登記
į		取締役	堀 哲 郎	平成13年	5月30日重任
				平成13年	6月15日登記
9		取締役	堀 哲 郎	平成15年	5月27日重任
				平成15年	6月12日登記
	•	取締役	伊藤靖之	平成11年	5月28日重任
				平成11年	6月10日登記
				平成13年	5月30日退任
				平成13年	6月15日登記
		取締役	高野静夫	平成11年	5月28日重任
	·			平成11年	6月10日登記
		取締役	高 野 静 夫	平成13年	5月30日重任
				平成13年	6月15日登記
		取締役	高野静夫	平成15年	5月27日重任
				 平成15年	6月12日登記

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	·	取締役	星	志	堅	_ <u>敬</u>				平成13年	5月30日就任
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		取締役	具	志	堅	敬	:			平成15年	5月27日重任
				·					_	平成15年	6月12日登記
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	東京都文京区目白台二丁目9番3-905号 代表取締役 伏島靖豊	平成11年 5月28日重任
	14次次和区 八山 州 豆	平成11年 6月10日登記
	東京都豊島区目白四丁目 2 3 番 2 1 号 代表取締役 伏島靖豊	平成11年 6月20日住所移転
		平成11年 7月13日登記
	東京都豊島区目白四丁目23番21号 代表取締役 伏島靖豊	平成13年 5月30日重任
	八次 公 明 豆	平成13年 6月15日登記
·	東京都豊島区目白四丁目 2 3 番 2 1 号 代表取締役 伏島 靖豊	平成15年 5月27日重任
	1/32/4/#以 以 面 相 豆	平成15年 6月12日登記
	大阪府箕面市半町一丁目14番9号 代表取締役 堀 哲 郎	平成15年 3月 1日就任
	7 <u>11 B AP</u>	平成15年 3月 4日登記
	大阪府箕面市半町一丁目14番9号 代表取締役 堀 哲 郎	平成15年 5月27日重任
	1 424 MATERIAL 2011	平成15年 6月12日登記
	監査役 名 和 正 夫	平成10年 5月28日重任
		平成10年 6月11日登記
,	監査役 名 和 正 夫	平成13年 5月30日重任
		平成13年 6月15日登記
		平成15年 5月27日辞任
		平成15年 6月12日登記
	監査役 宮崎富士夫	平成11年 5月28日重任
		平成11年 6月10日登記
	監査役 宮崎富士夫	平成14年 5月30日重任
		平成14年 7月15日登記